Attorney's Docket No.: 12967-002001/997047-06 (TM/it) Improve Q C1



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

pplicant: Tomohiro Kawase et al.

Art Unit: 1765

Serial No.: 09/824,965

Examiner: Robert Kunemund

Filed

: April 3, 2001

Title

: METHOD OF PREPARING GROUP III-V COMPOUND SEMICONDUCTOR

CRYSTAL

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

FOURTH INFORMATION DISCLOSURE STATEMENT

Applicant submits herewith a Form PTO-1449 together with the following documents:

- 1. Communication from the European Patent Office ("EPO") dated October 15, 2003, informing applicant's agent of an opposition to applicant's EP application 97106815.0, which claims the same priority as the present application.
- 2. "Einspruch gegen ein europäisches Patent" (Opposition against a European patent) (in German).
- 3. Translation into English of the Substantiation of the Opposition (part of item 2 above).
- 4. Hein, "Growth of Semiinsulating GaAs Crystals by Vertical Gradient Freeze Technique," Crystal Research Technology v. 30, No. 7, pp. 897-909 (1995) (Opposition Reference D1).
- 5. Hein et al, "Die Kristallisation and Schmelzen aus metallurgischer Prozess," Metall, v. 47, No. 10, pp. 924-928 (Oct. 1993) (Opposition Reference D1A).
- 6. Flade, "Entwicklung gross flächriger GaAs-Substrate," Freiberger Elektronikwerkstoffe GmbH (the opposer) (Opposition Reference D2).
- 7. Partial translation into English of item 5 (Opposition Reference D1A).
- 8. Partial translation into English of item 6 (Opposition Reference D2).
- 9. Copy of July 1, 2003 letter from Universitätsbiblioteck Hannover.... (Opposition Reference D2A).

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(TM/it)

Due to the bulk of one of these documents, they are being hand delivered to the PTO. Applicant's detailed Comments will follow by facsimile in the near future.

Applicant has used the same document designations on Form PTO-1449 as were used in the EP Opposition, to avoid confusion.

Pursuant to 37 C.F.R. §1.97(e), Applicant states that each item of information contained in the information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement. Therefore, pursuant to 37 CFR §1.97(c)(1), no IDS filing fee is required.

Please apply any charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date: November 19, 2003

John B. Pegram

Reg. No. 25,198

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Facsimile: (212) 258-2291

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Substitute Form PTO-1449 RM6dified) U.S. Department of Commerce Patent and Trademark Office Attorney's Docket No. Application No. 09/824,965 12967-002001 Information Disclosure Statement Applicant by Applicant (Use several sheets if necessary) Tomohiro Kawase et al. 2 0 2003 VOV Filing Date Group Art Unit April 3, 2001 1765

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
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Foreign Patent Documents or Published Foreign Patent Applications								
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	AN							
	AO							***
	AP							

(Other Documents (include Author, Title, Date, and Place of Publication)				
Examiner Initial	Desig. ID	Document			
	D1	Hein, "Growth of Semiinsulating GaAs Crystals by Vertical Gradient Freeze Technique," Crystal Research Technology v. 30, No. 7, pp. 897-909 (1995)			
	D1A	Hein et al, "Die Kristallisation and Schmelzen aus metallurgischer Prozess," Metall, v. 47, No. 10, pp. 924-928 (Oct. 1993)			
	D2	Flade, "Entwicklung gross flächriger GaAs-Substrate," Freiberger Elektronikwerkstoffe GmbH (Hannover, Germany, February 19, 1996) (?)			

Examiner Signature	Data Cancidanad
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EXAMINER: Initials citation considered. Draw line through citation if no	t in conformance and not considered. Include copy of this form with
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